

Kaizen Project Quarterly Review

Nov 4, 2020

Session 2 12:00-12:45



A3	Project Name: Site Wide Ready for Anticipated Use (SWRAU)	Program: OLEM/OSRTI	Report Date: September 30, 2020																																																																																											
BOX 1: PROJECT DEFINITION 1a. Problem Statement: SWRAU is a breakthrough measure for EPA. Historically, Regions had targeted and achieved approximately 40 SWRAU sites per fiscal year. In FY18 the target was increased by 25% to 51 through FY22. In FY18 we accomplished our stretch goal of 51 SWRAU sites. In FY19 we accomplished 94% of the 51 site stretch goal (net of 48 sites), a 133% increase over our original BFS bid of 36. In FY20 our regional BFS bid is 30. As of 3/2020 our bids increased to 37. Even with this increase, we expect meeting 51 will be a challenge. 1b. Goal: The goal is to continue to achieve the target of 51 for FY2020. 1c. Scope: Superfund National Priorities List (NPL) and Superfund Alternative sites that have achieved site wide construction completion and human exposure under control. 1d. Approval: _____ Henry Darwin, Chief Operations Officer																																																																																														
BOX 2: ANALYSIS In FY18, extensive work and analysis was conducted to identify barriers to achieving SWRAU. Under my direction, OSRTI staff conducted a second internal audit of construction complete (CC) sites not currently SWRAU, identifying barriers. There are 225 sites that have been CC over 10 years but that are not SWRAU. Institutional control (IC) implementation issues are the dominant barrier to achieving SWRAU, with 189 sites having ICs as a barrier and 94 sites identified as having ICs as the only barrier. Other barriers include the need to conduct additional remedial action, emerging contaminants, the need for a decision document, among others. The audit also revealed that regions approach their planning processes differently. Additionally, the universe of SWRAU-eligible sites is declining. During FY18, OSRTI collaborated with OCI on a number of activities to improve performance. A problem solving event was held in March 2018 with regional attendees, OSRE, and states. ICs were also identified here as being the primary barrier. OSRTI worked with OCI to identify additional potential problem solving activities to address developing institutional controls. OSRTI also developed a huddle board to track progress and actions. Following the early work on SWRAU, a HQ/regional workgroup was created to continue to share information across regions and identify barriers. During FY19, OSRTI continued to work with the regions, OSRE and others to address SWRAU barriers. IC issues remained a focus of these efforts and a reduced number of construction completion sites was also observed as a future barrier, but OSRTI will also address other barriers as appropriate. In addition, there are multiple Superfund sites that are in reuse or continued use where SWRAU has not been achieved. In 2019 we proposed a new indicator to track these sites as part of the SFTF Goal 4 work.																																																																																														
BOX 3: IMPROVEMENT ACTION REGISTRY <table border="1"> <thead> <tr> <th>#</th> <th>Assigned Date</th> <th>Action to be Taken</th> <th>Action Owner</th> <th>Due Date</th> <th>Percent Complete</th> <th>Completed Date</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>10/2019</td> <td>Regional Superfund DDOs provide expected annual bids and monthly goals.</td> <td>Regional SF DDOs</td> <td>11/2019</td> <td>25 50 75 100</td> <td>11/2019</td> </tr> <tr> <td>2</td> <td>10/2019</td> <td>Promote use of informational ICs when all other IC options have been exhausted.</td> <td>Stalcup</td> <td>11/2019</td> <td>25 50 75 100</td> <td>11/2019</td> </tr> <tr> <td>3</td> <td>10/2019</td> <td>Work with regions to balance SWRAU accomplishments throughout FY.</td> <td>Stalcup</td> <td>11/2019</td> <td>25 50 75 100</td> <td>11/2019</td> </tr> <tr> <td>4</td> <td>11/2019</td> <td>Discuss regional BFS targets during regional portfolio reviews.</td> <td>Regional SF Division Directors</td> <td>1/2020</td> <td>25 50 75 100</td> <td>1/2020</td> </tr> <tr> <td>5</td> <td>11/2019</td> <td>Increase total BFS targets by at least 16 sites.</td> <td>Regional SF DDOs</td> <td>12/2019</td> <td>25 50 75 100</td> <td>12/2019</td> </tr> <tr> <td>6</td> <td>12/2019</td> <td>Send 2020 SWRAU Audit materials to regions.</td> <td>Avvato</td> <td>12/2019</td> <td>25 50 75 100</td> <td>12/2019</td> </tr> <tr> <td>7</td> <td>3/2020</td> <td>Review updated SWRAU Audit materials provided by the regions.</td> <td>Stalcup</td> <td>4/2020</td> <td>25 50 75 100</td> <td>3/2020</td> </tr> <tr> <td>8</td> <td>Ongoing</td> <td>Work with OECA to identify opportunities to implement informational ICs and provide support as needed.</td> <td>Avvato</td> <td>4/2020</td> <td>25 50 75 100</td> <td></td> </tr> <tr> <td>9</td> <td>12/2020</td> <td>Explore new measures and policies that encompass different scopes or activities, including ICs.</td> <td>Avvato</td> <td></td> <td>25 50 75 100</td> <td></td> </tr> <tr> <td></td> <td></td> <td>Conduct SWRAU Workgroup meetings.</td> <td>Avvato</td> <td></td> <td>25 50 75 100</td> <td>Ongoing</td> </tr> <tr> <td></td> <td></td> <td>Monitor progress toward 51.</td> <td>Avvato</td> <td></td> <td>25 50 75 100</td> <td></td> </tr> <tr> <td></td> <td></td> <td>Begin discussions about future of measure and future annual targets.</td> <td>Avvato</td> <td></td> <td>25 50 75 100</td> <td></td> </tr> </tbody> </table>				#	Assigned Date	Action to be Taken	Action Owner	Due Date	Percent Complete	Completed Date	1	10/2019	Regional Superfund DDOs provide expected annual bids and monthly goals.	Regional SF DDOs	11/2019	25 50 75 100	11/2019	2	10/2019	Promote use of informational ICs when all other IC options have been exhausted.	Stalcup	11/2019	25 50 75 100	11/2019	3	10/2019	Work with regions to balance SWRAU accomplishments throughout FY.	Stalcup	11/2019	25 50 75 100	11/2019	4	11/2019	Discuss regional BFS targets during regional portfolio reviews.	Regional SF Division Directors	1/2020	25 50 75 100	1/2020	5	11/2019	Increase total BFS targets by at least 16 sites.	Regional SF DDOs	12/2019	25 50 75 100	12/2019	6	12/2019	Send 2020 SWRAU Audit materials to regions.	Avvato	12/2019	25 50 75 100	12/2019	7	3/2020	Review updated SWRAU Audit materials provided by the regions.	Stalcup	4/2020	25 50 75 100	3/2020	8	Ongoing	Work with OECA to identify opportunities to implement informational ICs and provide support as needed.	Avvato	4/2020	25 50 75 100		9	12/2020	Explore new measures and policies that encompass different scopes or activities, including ICs.	Avvato		25 50 75 100				Conduct SWRAU Workgroup meetings.	Avvato		25 50 75 100	Ongoing			Monitor progress toward 51.	Avvato		25 50 75 100				Begin discussions about future of measure and future annual targets.	Avvato		25 50 75 100	
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BOX 4: RESULTS 2019 - Regions Target 30 sites (initial BFS bids) Nov 2019 - Dana Stalcup/Jim Woolford discussions with Regional DDOs 8/2020 - Dana Stalcup/Jim Woolford completed Portfolio Reviews with all Regions																																																																																														
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A3: C. Terris and M. Jones-Peeler		Project Name: Long term performance goal 3.5, Adoption of Shared Services		Program: OCFO		Report Date: October 16, 2020																																																																				
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<p>1a. Problem Statement: EPA is working to implement the Government-wide Shared Services solution for Interagency Agreements – G-invoicing, as well as the Invoice Payment Process (IPP) for contracts. This initiative will address our long-term performance goal 3.5 to increase enterprise adoption of shared services by FY 2022, to increase efficiency and save resources. It requires change management and integrated plans for business process and system changes as well as training.</p> <p>1b. Goal: For IPP, modify 50% of 355 contracts to include use of Treasury IPP system, from a baseline of 0. For G-invoicing, increase outreach/change management to include Project Officers, with a target of 50% (baseline of 1%). For both efforts, develop/coordinate plan for next steps of implementation in FY 2022.</p> <p>Note: Corrected contract modification universe from 660 to 355 to track with new OMB mandated workload at OAS; determined ability to submit and pay invoice electronically was key value added from IPP for contractors.</p> <p>1c. Scope: For IPP, contract actions that utilize the CPS. For G-invoicing, program and central (OCFO/OMS) project officers for IA's and their managers.</p> <p>1d. Approval: Henry Darwin, Chief Operations Officer</p>				<table border="1"> <thead> <tr> <th>#</th> <th>Project Title</th> <th>Assigned Date</th> <th>Assigned Owner</th> <th>Due Date</th> <th>Percent Complete</th> <th>Completed Date</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>12/15/20</td> <td>Analyze data capabilities between Phase 1 invoicing application with Payment Feeder Systems and Core Financial System.</td> <td>Henry Miller/Veronica Jones-Peeler</td> <td>3/1/20</td> <td>24</td> <td>50</td> <td>75</td> <td>100</td> <td>6/1/20</td> </tr> <tr> <td>2</td> <td>6/1/20</td> <td>Review contract universe and solidify target number of contract modifications needed (IPF)</td> <td>James Miller</td> <td>9/10/2020</td> <td>25</td> <td>60</td> <td>75</td> <td>100</td> <td>9/10/2020</td> </tr> <tr> <td>3</td> <td>1/10/20</td> <td>Establish Vendor Match Universe & complete 537 vendor matches (IPF)</td> <td>James Miller/Veronica Jones-Peeler/Veronica Jones-Peeler</td> <td>9/10/2020</td> <td>24</td> <td>60</td> <td>75</td> <td>100</td> <td>9/10/2020</td> </tr> <tr> <td>4</td> <td>1/10/20</td> <td>Establish Contract Modification Universe & modify 50% (228) of contracts by 9/30/2022</td> <td>James Miller</td> <td>9/10/2020</td> <td>24</td> <td>60</td> <td>75</td> <td>100</td> <td>9/10/2020</td> </tr> <tr> <td>5</td> <td>1/10/20</td> <td>Develop IPP outreach materials & meet with 50% of acquisition community</td> <td>James Miller/Veronica Jones-Peeler</td> <td>9/10/2020</td> <td>24</td> <td>60</td> <td>75</td> <td>100</td> <td>9/10/2020</td> </tr> <tr> <td>6</td> <td>1/10/20</td> <td>Identify G-invoicing universe of impacted staff & provide outreach/change management training to 50% of universe.</td> <td>James Miller/Veronica Jones-Peeler/Veronica Jones-Peeler</td> <td>9/10/2020</td> <td>24</td> <td>60</td> <td>75</td> <td>100</td> <td>9/10/2020</td> </tr> </tbody> </table>				#	Project Title	Assigned Date	Assigned Owner	Due Date	Percent Complete	Completed Date	1	12/15/20	Analyze data capabilities between Phase 1 invoicing application with Payment Feeder Systems and Core Financial System.	Henry Miller/Veronica Jones-Peeler	3/1/20	24	50	75	100	6/1/20	2	6/1/20	Review contract universe and solidify target number of contract modifications needed (IPF)	James Miller	9/10/2020	25	60	75	100	9/10/2020	3	1/10/20	Establish Vendor Match Universe & complete 537 vendor matches (IPF)	James Miller/Veronica Jones-Peeler/Veronica Jones-Peeler	9/10/2020	24	60	75	100	9/10/2020	4	1/10/20	Establish Contract Modification Universe & modify 50% (228) of contracts by 9/30/2022	James Miller	9/10/2020	24	60	75	100	9/10/2020	5	1/10/20	Develop IPP outreach materials & meet with 50% of acquisition community	James Miller/Veronica Jones-Peeler	9/10/2020	24	60	75	100	9/10/2020	6	1/10/20	Identify G-invoicing universe of impacted staff & provide outreach/change management training to 50% of universe.	James Miller/Veronica Jones-Peeler/Veronica Jones-Peeler	9/10/2020	24	60	75	100	9/10/2020
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<p>What is the relevant data that shows there is a problem?</p> <p>1. Strategic objective measure to advance federal shared services/also OMB mandate. Intent is to leverage software, create efficiencies, and standardize processes.</p> <p>2. Invoices are paid outside of statutory requirements (late) and above cost per invoice government benchmark – OCFO bowling chart measures data. Integrated solution (IPP) has resulted in more timely, efficient payment processing for staff, and is also a significant efficiency for vendors, per results at other agencies.</p> <p>3. Both EPA and OCFO's legacy software is difficult to manage/adapt to new shared services needs and will not meet the government requirement for moving to new Treasury system.</p> <p>4. Determining the relationship between need to modify contracts and electronic submission of invoices/process to make actual vendor payments.</p> <p>What problem-solving tools were used to get to the root causes of problem?</p> <p>1. Value stream mapping to create standardized business processes for interagency agreements; and for receipt/approval/payment of electronic contract invoices.</p> <p>2. Brainstorm methods and analyze data for determining relevant contract universe; identify barriers and process improvements to meet OAS and vendor needs.</p> <p>3. Modified 5 whys: determine data issues that were barriers to making payment with new method, and what adjustments were feasible to system settings.</p> <p>4. Change management: prepare agency through sessions to socialize the new functionality of both G-invoicing and IPP shared services solutions.</p>				<p>CPS Invoicing Audit by FY QTR</p> <table border="1"> <caption>CPS Invoicing Audit by FY QTR Data</caption> <thead> <tr> <th>Quarter</th> <th>Number of Invoices Paid</th> <th>Total Number of Invoices Paid</th> </tr> </thead> <tbody> <tr> <td>Q1</td> <td>6000</td> <td>150</td> </tr> <tr> <td>Q2</td> <td>6500</td> <td>175</td> </tr> <tr> <td>Q3</td> <td>6800</td> <td>200</td> </tr> <tr> <td>Q4</td> <td>7000</td> <td>225</td> </tr> </tbody> </table>				Quarter	Number of Invoices Paid	Total Number of Invoices Paid	Q1	6000	150	Q2	6500	175	Q3	6800	200	Q4	7000	225																																																				
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<p><input type="checkbox"/> Modified 228 of the 355 contracts for FY 2020. This is 64% of our target.</p> <p><input type="checkbox"/> Determined that vendor could invoice through IPP without contract modifications – rate of electronic invoice submission is important measure of success.</p> <p><input type="checkbox"/> Achieved 100% of targeted Vendor Matches for FY 2020 of 537. By Quarter increasing the number of electronic vendor payments: Q1=06%, Q2=15%, Q3=44%, and Q4=72%. For the year we paid 31% of all CPS payments electronically</p> <p><input type="checkbox"/> Communicated with 500+ acquisition professional about the IPP change.</p> <p><input type="checkbox"/> Identified existing business processes that would yield efficiencies in current process.</p> <p><input type="checkbox"/> Delivered quarterly G-invoicing implementation plans to Treasury.</p> <p><input type="checkbox"/> Conducted outreach and change management for IA community. We provided information about the implementation of G-invoicing to over 50% of 1200 community.</p>				<table border="1"> <thead> <tr> <th>Name</th> <th>Role</th> </tr> </thead> <tbody> <tr> <td>Carol Terris & Michael Jones-Peeler</td> <td>Executive Sponsor</td> </tr> <tr> <td>Renee Miller, Michael Gurnea, & Raoul Scott</td> <td>Process Owners</td> </tr> <tr> <td>Alan Jaffar</td> <td>Project Lead/Coach</td> </tr> </tbody> </table>				Name	Role	Carol Terris & Michael Jones-Peeler	Executive Sponsor	Renee Miller, Michael Gurnea, & Raoul Scott	Process Owners	Alan Jaffar	Project Lead/Coach																																																											
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<p>1) Ensure communications are reaching the appropriate communication.</p> <p>2) Contract funding will be needed to support efforts.</p> <p>3) No interfaces allowed (IA) per Treasury.</p> <p>4) Coordination among various changes to major systems.</p> <p>5) Not all invoices can be processed in IPP.</p> <p>6) Require business process changes.</p>				<p>Wednesday's – 1:30PM to 1:30PM</p> <p>Regular meeting for regular meeting</p> <p>Tuesday by noon</p> <p>Meeting Date for this project (if any)</p>																																																																						
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<p>Executive Sponsor's Signature:</p>				<p>Project Start Date: 6/2019</p> <p>Estimated Project Completed Date: FY2024</p>																																																																						

Breakthrough Project		Project Name: SPEEDING UP ACQUISITION PROCESS - PALT		Program: OMS/ARM/OAS		Report Date: October 11, 2020																																																																																																																																																																																																																									
1. PROJECT DEFINITION (Plan) EPA's current acquisition process ranked 23 out of 24 agencies for overall customer satisfaction, is inefficient and frustrating to agency staff. In Quarter 4 of FY16 EPA reviewed more than 1,300 procurement requests submitted for processing, over half of the procurement requests for task orders, contract modifications, and new acquisitions for products or services had a deficiency requiring rework, delaying the procurement process. The acquisition planning process spans from the identification of the customer's need to the development and submission of a procurement request package, is unmeasured and unmonitored. These issues impact the agency's ability to secure goods and services in a timely manner in support of our mission to protect human health and the environment. Scope: Assume no increase in overall agency staffing levels devoted to acquisition management and no changes to policies and regulations. Look at acquisition planning phase and address quality and other identified issues. Explore organizational structure, including consolidation/centralization of the Agency's acquisition function. Assess current and needed tools to assist with reporting and tracking. Work will begin October 2017 due to end of year workload. Goal: By FY22, EPA will Achieve 100% of Procurement Action Lead Time (PALT) goals				3. IMPROVEMENT ACTIONS (DO) <table><tr><th>Item</th><th>Start Date</th><th>End Date</th><th>Owner</th><th>Priority</th><th>Status</th><th>Notes</th></tr><tr><td>123</td><td>11/5/2019</td><td>Executive Acquisition Training</td><td>Martina Gills-Marsley</td><td>2/28/2020 4/24/2020 6/22/2020 8/22/2020 10/30/20</td><td>75</td><td>100</td><td>Scheduled for week of 10/22/20</td></tr><tr><td>125</td><td>3/6/2020</td><td>Lead implementation activities for the Decreasing Funding Modifications Workgroup</td><td>Jennifer Machi</td><td>5/30/2021</td><td>25</td><td>50</td><td>75</td><td>100</td><td>Each subcommittee to brief AWC and convene for 30-45 min meeting scheduled for 10/22/20</td></tr><tr><td>127</td><td>4/28/2020</td><td>Executive Acquisition Guide Design & Layout</td><td>Martina Gills-Marsley, Jennifer Machi</td><td>9/16/2020 9/24/2020 10/23/2020 6/30/20</td><td>25</td><td>50</td><td>75</td><td>100</td><td>Guide design and layout completed. Summary document being prepared.</td></tr></table>				Item	Start Date	End Date	Owner	Priority	Status	Notes	123	11/5/2019	Executive Acquisition Training	Martina Gills-Marsley	2/28/2020 4/24/2020 6/22/2020 8/22/2020 10/30/20	75	100	Scheduled for week of 10/22/20	125	3/6/2020	Lead implementation activities for the Decreasing Funding Modifications Workgroup	Jennifer Machi	5/30/2021	25	50	75	100	Each subcommittee to brief AWC and convene for 30-45 min meeting scheduled for 10/22/20	127	4/28/2020	Executive Acquisition Guide Design & Layout	Martina Gills-Marsley, Jennifer Machi	9/16/2020 9/24/2020 10/23/2020 6/30/20	25	50	75	100	Guide design and layout completed. Summary document being prepared.																																																																																																																																																																																					
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2. ANALYSIS (Plan) <ul style="list-style-type: none">Tackle backlog of administrative actions <i>(in progress)</i>Load-level OAS workload <i>(in progress)</i>Improve data integrity to ensure PALT is accurately captured <i>(in progress)</i>Provide EUMS Coaching to each OAS Branch/Team <i>(completed)</i>Implement electronic visual management and huddles across OAS <i>(completed)</i>				<table><tr><td>1600</td><td>1502</td><td>1569</td><td>1300</td><td>1232</td><td>1273</td><td>1532</td><td>1242</td><td>1441</td><td>1566</td><td>1619</td><td>1433</td><td>1207</td><td>1305</td><td>1335</td><td>1624</td></tr><tr><td>Q1-17</td><td>Q2-17</td><td>Q3-17</td><td>Q4-17</td><td>Q1-18</td><td>Q2-18</td><td>Q3-18</td><td>Q4-18</td><td>Q1-19</td><td>Q2-19</td><td>Q3-19</td><td>Q4-19</td><td>Q1-20</td><td>Q2-20</td><td>Q3-20</td><td>Q4-20</td></tr><tr><td>1646</td><td>1461</td><td>1336</td><td>1159</td><td>1204</td><td>1160</td><td>1170</td><td>1245</td><td>1196</td><td>1190</td><td>1185</td><td>1185</td><td>1185</td><td>1185</td><td>1185</td><td>1185</td></tr></table> <p>Q1-17: 1600, Q2-17: 1502, Q3-17: 1569, Q4-17: 1300, Q1-18: 1232, Q2-18: 1273, Q3-18: 1532, Q4-18: 1242, Q1-19: 1441, Q2-19: 1566, Q3-19: 1619, Q4-19: 1433, Q1-20: 1207, Q2-20: 1305, Q3-20: 1335, Q4-20: 1624</p> <p>Q1-17: 1646, Q2-17: 1461, Q3-17: 1336, Q4-17: 1159, Q1-18: 1204, Q2-18: 1160, Q3-18: 1170, Q4-18: 1245, Q1-19: 1196, Q2-19: 1190, Q3-19: 1185, Q4-19: 1185, Q1-20: 1185, Q2-20: 1185, Q3-20: 1185, Q4-20: 1185</p> <p>Q1-17: 1600, Q2-17: 1502, Q3-17: 1569, Q4-17: 1300, Q1-18: 1232, Q2-18: 1273, Q3-18: 1532, Q4-18: 1242, Q1-19: 1441, Q2-19: 1566, Q3-19: 1619, Q4-19: 1433, Q1-20: 1207, Q2-20: 1305, Q3-20: 1335, Q4-20: 1624</p> <p>Q1-17: 1646, Q2-17: 1461, Q3-17: 1336, Q4-17: 1159, Q1-18: 1204, Q2-18: 1160, Q3-18: 1170, Q4-18: 1245, Q1-19: 1196, Q2-19: 1190, Q3-19: 1185, Q4-19: 1185, Q1-20: 1185, Q2-20: 1185, Q3-20: 1185, Q4-20: 1185</p>				1600	1502	1569	1300	1232	1273	1532	1242	1441	1566	1619	1433	1207	1305	1335	1624	Q1-17	Q2-17	Q3-17	Q4-17	Q1-18	Q2-18	Q3-18	Q4-18	Q1-19	Q2-19	Q3-19	Q4-19	Q1-20	Q2-20	Q3-20	Q4-20	1646	1461	1336	1159	1204	1160	1170	1245	1196	1190	1185	1185	1185	1185	1185	1185																																																																																																																																																																								
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4. Results (Check) <ul style="list-style-type: none">The OAS backlog decreased from 110 actions to 91 actions, meeting the September and annual target of 91 actions. OAS continues to coordinate with the Regions to reduce the backlog.The Reducing Funding Packages Kaizen workgroup held its monthly implementation meeting on September 23, 2020. The project plan was discussed. Additionally, each subgroup provided an update on implementation activities and reviewed deliverables due prior to the next meeting scheduled for October 28, 2020.OAS has finalized the Executive Procurement Guide and is preparing a quick guide/summary document. Executive acquisition training has been scheduled for October 22, 2020.				<p>Q1-17: 1600, Q2-17: 1502, Q3-17: 1569, Q4-17: 1300, Q1-18: 1232, Q2-18: 1273, Q3-18: 1532, Q4-18: 1242, Q1-19: 1441, Q2-19: 1566, Q3-19: 1619, Q4-19: 1433, Q1-20: 1207, Q2-20: 1305, Q3-20: 1335, Q4-20: 1624</p> <p>Q1-17: 1646, Q2-17: 1461, Q3-17: 1336, Q4-17: 1159, Q1-18: 1204, Q2-18: 1160, Q3-18: 1170, Q4-18: 1245, Q1-19: 1196, Q2-19: 1190, Q3-19: 1185, Q4-19: 1185, Q1-20: 1185, Q2-20: 1185, Q3-20: 1185, Q4-20: 1185</p> <p>Q1-17: 1600, Q2-17: 1502, Q3-17: 1569, Q4-17: 1300, Q1-18: 1232, Q2-18: 1273, Q3-18: 1532, Q4-18: 1242, Q1-19: 1441, Q2-19: 1566, Q3-19: 1619, Q4-19: 1433, Q1-20: 1207, Q2-20: 1305, Q3-20: 1335, Q4-20: 1624</p> <p>Q1-17: 1646, Q2-17: 1461, Q3-17: 1336, Q4-17: 1159, Q1-18: 1204, Q2-18: 1160, Q3-18: 1170, Q4-18: 1245, Q1-19: 1196, Q2-19: 1190, Q3-19: 1185, Q4-19: 1185, Q1-20: 1185, Q2-20: 1185, Q3-20: 1185, Q4-20: 1185</p>																																																																																																																																																																																																																											
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Breakthrough Project		Project Name: Agency Space Reductions		Program: OMS		Report Date: 7/16/2020	
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1. PROJECT DEFINITION (Plan) Problem Statement: With aging facilities and the demand on the B&P budget, the EPA is required to identify underutilized space for release. Goal: EPA develops master plans to identify aging infrastructure and underutilized space. In FY2020, the agency plans to release 100,821 square feet of space. Scope: In accordance with EPA's Real Property Efficiency Plan, the agency established a long-term goal in FY2015 to reduce its underutilized space by 850,641 square feet by 2022.		3. Action Registry (Do) <table border="1"> <thead> <tr> <th>#</th> <th>Action to be Taken</th> <th>Action Owner</th> <th>Due Date</th> <th colspan="4">Percent Complete</th> <th>Completed Date</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>EPA Management Decision</td> <td>OMS/OA</td> <td>Ongoing</td> <td>25</td> <td>50</td> <td>75</td> <td>100</td> <td>October 2019</td> </tr> <tr> <td>2</td> <td>GSA Engagement</td> <td>RPSD</td> <td>Ongoing</td> <td>25</td> <td>50</td> <td>75</td> <td>100</td> <td>September 2019</td> </tr> <tr> <td>3</td> <td>POB Development</td> <td>RPSD</td> <td>October 2019</td> <td>25</td> <td>50</td> <td>75</td> <td>100</td> <td>October 2019</td> </tr> <tr> <td>4</td> <td>Design & Construction/Space Configuration</td> <td>RPSD</td> <td>August 2020</td> <td>25</td> <td>50</td> <td>75</td> <td>100</td> <td>August 2020</td> </tr> <tr> <td>5</td> <td>Relocation/Decommission</td> <td>RPSD</td> <td>September 2020</td> <td>25</td> <td>50</td> <td>75</td> <td>100</td> <td>September 2020</td> </tr> <tr> <td>6</td> <td>Square Feet Released</td> <td>RPSD</td> <td>September 2020</td> <td>25</td> <td>50</td> <td>75</td> <td>100</td> <td>September 2020</td> </tr> </tbody> </table>		#	Action to be Taken	Action Owner	Due Date	Percent Complete				Completed Date	1	EPA Management Decision	OMS/OA	Ongoing	25	50	75	100	October 2019	2	GSA Engagement	RPSD	Ongoing	25	50	75	100	September 2019	3	POB Development	RPSD	October 2019	25	50	75	100	October 2019	4	Design & Construction/Space Configuration	RPSD	August 2020	25	50	75	100	August 2020	5	Relocation/Decommission	RPSD	September 2020	25	50	75	100	September 2020	6	Square Feet Released	RPSD	September 2020	25	50	75	100	September 2020	Team <table border="1"> <thead> <tr> <th>Name</th> <th>Role</th> </tr> </thead> <tbody> <tr> <td>Yvette Jackson</td> <td>Executive Sponsor</td> </tr> <tr> <td>Steven Blankenship</td> <td>Process Owner</td> </tr> <tr> <td>John Cady</td> <td>Project Lead</td> </tr> <tr> <td>David Saporita</td> <td>Coach</td> </tr> <tr> <td>RPSD</td> <td>Action Owner</td> </tr> </tbody> </table> Issues/Obstacles Completion of all activities are budget and GSA dependent.		Name	Role	Yvette Jackson	Executive Sponsor	Steven Blankenship	Process Owner	John Cady	Project Lead	David Saporita	Coach	RPSD	Action Owner
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2. ANALYSIS (Plan) The Office of Administration works with the Mission Support Division Directors and National Program Managers to identify underutilized space for release and develops a plan for consolidation or relocation of staff.		4. RESULTS (Check) The Office of Administration has released a total of 116,425 square feet of space as of September 2020. R2 (NY) - 37,801; R10 (AK) - 843; R4 (KY) - 408; R4 (TN) - 805; R6 (Baton Rouge Locations) - 2,122; Las Vegas/La Plaza Bldg A - 7,844; Las Vegas/La Plaza Bldg B - 10,414; and UNLV - 55,989. OA has released 100% of its target space for FY2020. Cost savings to date is \$4,937,149.65.	
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Location	Sq. Ft.	Savings
R2 New York	37,801	\$2,640,777
R10 Juneau	843	\$25,000
R4 Louisville, KY	408	\$5,698
R4 Winchester, TN	805	\$10,008.08
R6 Baton Rouge	2,122	\$63,220.77
R9 Las Plaza Bldg A	7,844	\$237,579.84
R9 Las Plaza Bldg B	10,414	\$315,420
Las Vegas UNLV	55,989	\$1,619,448
Total	116,425	\$4,937,149.65

Cumulative Space Release and Projections

Fiscal Year	Released (Sq. Ft.)	Target (Sq. Ft.)
FY16	~30,000	100,000
FY17	~50,000	100,000
FY18	~70,000	100,000
FY19	~90,000	100,000
FY20	116,425	100,000

Project Management
 Early start date for regular biweekly meeting.

 Regular biweekly start to project team for.

 Submit all tasks for review project of work.

Progress
 Project Start Date: _____

P	D	C	A
1	2	3	4

 Estimated Project Completed Date: _____

A3		Project Name: Improving the Development, Review and Approval of State & Tribal Quality Assurance Project Plans (QAPPs)		Program: OMS/E/OE/EP/EQMD		Report Date: October 16, 2020																																																																														
BOX 1: PROJECT DEFINITION 1a. Problem Statement: The time required for EPA to review and approve QAPPs submitted by state and tribal grantees is too long, and QAPP processes are not sufficiently transparent or consistent across EPA regional offices. 1b. Goal: Review & approve 80% of all state and tribal QAPPs received after April 1, 2019, within 60 days by September 30, 2020. 1c. Scope: Includes all state and tribal grantee QAPPs submitted to the EPA Regions and reported to EQMD. These QAPPs do not include state delegated QAPPs. 1d. Approval: Henry Darwin, Chief Operations Officer				BOX 3: IMPROVEMENT ACTION REGISTRY <table border="1"> <thead> <tr> <th>#</th> <th>Assigned Date</th> <th>Action to be Taken</th> <th>Action Owner</th> <th>Due Date</th> <th>Percent Complete</th> <th>Completed Date</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>8/12/20</td> <td>WESLIZMAKADONCHWET</td> <td>E. Mitter</td> <td>9/30/20</td> <td></td> <td>9/30/20</td> </tr> <tr> <td>2</td> <td>8/20/20</td> <td>Met with the regions to discuss setting targets.</td> <td>K. Chaffert</td> <td>9/30/20</td> <td></td> <td>9/30/20</td> </tr> <tr> <td>3</td> <td>10/20/20</td> <td>Discuss meeting regional and OMS targets with ODO and required customer measures.</td> <td>K. Chaffert</td> <td>11/1/20</td> <td></td> <td>4/30/20</td> </tr> <tr> <td>4</td> <td>1/22/20</td> <td>Determined reporting rates QAPPs equal 100%.</td> <td>K. Chaffert</td> <td>5/15/20</td> <td></td> <td>4/8/20</td> </tr> <tr> <td>5</td> <td>5/20/20</td> <td>Inform ODOs, LSADs and RAOs of new targets and that OMS should be entering the information in EPS.</td> <td>J. Wells</td> <td>4/3/20</td> <td></td> <td>4/17/20</td> </tr> <tr> <td>6</td> <td>4/6/20</td> <td>Determined FY 2021 targets and the new backlog metrics of QAPPs not reviewed by 10/15/20.</td> <td>K. Chaffert</td> <td>4/15/20</td> <td></td> <td>10/15/20</td> </tr> <tr> <td>7</td> <td>4/2/19</td> <td>Year 6 Conditions Observed, revised, coordinate with state and tribal regional offices. Review with ODO management, ODO end of day.</td> <td>C. Thorne</td> <td>4/15/20</td> <td></td> <td>10/15/20</td> </tr> <tr> <td>8</td> <td>4/14/19</td> <td>Year 6 Conditions Observed, scheduled for comments, coordinate with state and tribal regional offices. Review with ODO management, ODO end of day.</td> <td>C. Thorne</td> <td>4/15/20</td> <td></td> <td>10/15/20</td> </tr> </tbody> </table>				#	Assigned Date	Action to be Taken	Action Owner	Due Date	Percent Complete	Completed Date	1	8/12/20	WESLIZMAKADONCHWET	E. Mitter	9/30/20		9/30/20	2	8/20/20	Met with the regions to discuss setting targets.	K. Chaffert	9/30/20		9/30/20	3	10/20/20	Discuss meeting regional and OMS targets with ODO and required customer measures.	K. Chaffert	11/1/20		4/30/20	4	1/22/20	Determined reporting rates QAPPs equal 100%.	K. Chaffert	5/15/20		4/8/20	5	5/20/20	Inform ODOs, LSADs and RAOs of new targets and that OMS should be entering the information in EPS.	J. Wells	4/3/20		4/17/20	6	4/6/20	Determined FY 2021 targets and the new backlog metrics of QAPPs not reviewed by 10/15/20.	K. Chaffert	4/15/20		10/15/20	7	4/2/19	Year 6 Conditions Observed, revised, coordinate with state and tribal regional offices. Review with ODO management, ODO end of day.	C. Thorne	4/15/20		10/15/20	8	4/14/19	Year 6 Conditions Observed, scheduled for comments, coordinate with state and tribal regional offices. Review with ODO management, ODO end of day.	C. Thorne	4/15/20		10/15/20	BOX 6: TEAM <table border="1"> <thead> <tr> <th>Name</th> <th>Role</th> </tr> </thead> <tbody> <tr> <td>Jeff Wells</td> <td>Executive Sponsor</td> </tr> <tr> <td>Katherine Chaffert</td> <td>Process Owner</td> </tr> <tr> <td>Katherine Chaffert</td> <td>Project Lead</td> </tr> <tr> <td>Karen Costa</td> <td>Coach</td> </tr> </tbody> </table>				Name	Role	Jeff Wells	Executive Sponsor	Katherine Chaffert	Process Owner	Katherine Chaffert	Project Lead	Karen Costa	Coach
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BOX 2: ANALYSIS <ul style="list-style-type: none"> In 2018, OE/EP/EO/MD partnered with E-Enterprise and held a LEAN Event to address concerns that state and tribal QAPPs were not being developed, reviewed and approved in a timely and consistent manner. Four workgroups formed from this effort. The information contained in this A3 describes the on-going work of reporting the Regional QAPP Mission Measure. Data collection occurs monthly and is reported using an Excel Workbook in SharePoint. All data is reported on the 15th of each month and there is a one-month reporting lag as QAPPs may arrive on the last day of the month, prior to being submitted to the Regional QA Manager. This mission measure only calculates internal EPA review time; however the milestones and dates collected easily allow one to see the pain points and where the QAPPs are delayed in the process (i.e., entry into the Region or with the grantee). <table border="1"> <thead> <tr> <th rowspan="2">Region</th> <th colspan="3">FY 2020 Totals</th> </tr> <tr> <th>Eligible</th> <th>Approved</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>R1</td> <td>23</td> <td>19</td> <td>83%</td> </tr> <tr> <td>R2</td> <td>7</td> <td>6</td> <td>86%</td> </tr> <tr> <td>R3</td> <td>20</td> <td>14</td> <td>70%</td> </tr> <tr> <td>R4</td> <td>29</td> <td>26</td> <td>90%</td> </tr> <tr> <td>R5</td> <td>31</td> <td>20</td> <td>65%</td> </tr> <tr> <td>R6</td> <td>152</td> <td>143</td> <td>94%</td> </tr> <tr> <td>R7</td> <td>8</td> <td>7</td> <td>88%</td> </tr> <tr> <td>R8</td> <td>44</td> <td>41</td> <td>93%</td> </tr> <tr> <td>R9</td> <td>33</td> <td>22</td> <td>67%</td> </tr> <tr> <td>R10</td> <td>28</td> <td>26</td> <td>93%</td> </tr> <tr> <td>Totals</td> <td>375</td> <td>324</td> <td>86%</td> </tr> </tbody> </table>				Region	FY 2020 Totals			Eligible	Approved	%	R1	23	19	83%	R2	7	6	86%	R3	20	14	70%	R4	29	26	90%	R5	31	20	65%	R6	152	143	94%	R7	8	7	88%	R8	44	41	93%	R9	33	22	67%	R10	28	26	93%	Totals	375	324	86%	BOX 4: RESULTS LTTR: By September 30, 2022, review and approve 100% of eligible (received on or after April 1, 2019) tribal and state QAPPs within 60 calendar days for EPA's portion of the review time. Refer to the attached ODO. APG: Percent of eligible State and Tribal QAPPs that the EPA reviews and approves within 60 calendar days for EPA's portion of the review time. Metric Details: Percent of eligible State and Tribal QAPPs that the EPA reviews and approves within 60 calendar days for EPA's portion of the review time. Metric and APG Targets: <ul style="list-style-type: none"> FY 2020 ending target = 80% FY 2021 beginning and ending target = 90% FY 2022 beginning and ending target = 100% New FY 2021 Metric Details: <ul style="list-style-type: none"> The QAPP Backlog metric provides the number of outstanding QAPPs on a monthly basis to help reach the goal of eliminating the backlog of unreviewed and unapproved QAPPs. The criteria for counting the backlog are as follows: <ul style="list-style-type: none"> The Regions will submit their first backlog report to OMS by Nov 15, 2020. The Nov 2020 report will serve as the baseline and include all QAPPs not reviewed and approved through Oct 2020. There will be no set starting point to begin counting these non-approvals, rather each Region needs to provide a full inventory of their backlog. This will provide EPA with a sense of magnitude for how many QAPPs were not reviewed and approved. Backlog will be defined as those QAPPs that have not been reviewed and approved in 120 calendar days. This includes EPA time and the grantee's time. 																													
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BOX 5: STANDARD PROCESS & VISUAL MANAGEMENT Visual Management in Place <table border="1"> <thead> <tr> <th>Regions: 2, 3, 5, 7-10</th> <th>Regions: 1, 4, 6</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> </tr> </tbody> </table>				Regions: 2, 3, 5, 7-10	Regions: 1, 4, 6			BOX 7: ISSUES Backlog – The RAOs have expressed to EQMD that identifying the backlog beyond the past five years does not provide value. Their original intention was QAPPs expire in five years and/or the grant may be closed out. Taking this approach would provide a consistent starting point for the Regions to count the backlog and EQMD concerns with their position. Tracking Data – Several RAOs have suggested they want flexibility in tracking their QAPPs and do not want to use the EQMD prepared Regional Data Collection Excel Workbook. Their rationale is that this creates extra work and double data entry. Also, the RAOs have suggested they would prefer to enter their QAPP data directly into EPS and provide the backup data upon request. EQMD does not want to create additional work, however is exercising our oversight role and providing a tool that creates consistency. Linking QAPPs to Grants – The RAOs are opposed to linking QAPPs to grants data as they do not have access to the OMS and the management of grants falls outside of the LSAD where the RAOs are located. EQMD does not concur with this position.																																																																												
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BOX 8: PROJECT MANAGEMENT <ul style="list-style-type: none"> Keep work time for regular update meetings. The Process Owner will update the Executive Sponsor during the EQMD Weekly. The Project Lead confirms all numbers being reported by the 15 of each month and provides the information to OMS/RSO for entry into EPS. Keep all updates due at 10:00am on Wed. The Process Owner will update the Executive Sponsor during the EQMD Weekly. Regional Data for this project at any. 				BOX 9: PROGRESS Project Start Date: Aug 2019 Estimated Project Completed Date: Sep 2022 <table border="1"> <thead> <tr> <th>Progress</th> </tr> </thead> <tbody> <tr> <td>1 2 3 4 5</td> </tr> </tbody> </table>				Progress	1 2 3 4 5																																																																											
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Breakthrough Project		Project Name: State Oversight		Program: AO/OCIR		Report Date: 10/16/2020																																																																																																																											
1. PROJECT DEFINITION (Plan) Problem Statement: There is no comprehensive system designed for EPA's oversight of state and local implementation of federal environmental programs resulting in the inability to determine the effectiveness and value of EPA's oversight activities. Scope: To develop a comprehensive system including principles, best practices, and data collection, to pilot consistent approaches for selected program(s) using a common understanding of standards for state and national performance. To consider links to the Strategic Plan and measures. And to review and follow up with the state on process and customer service throughout the pilot implementation and planning cycle. Goal: Define, develop, pilot, evaluate, and launch the comprehensive system to evaluate state and local implementation of federal environmental programs by 2020.		3. 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PROJECT DEFINITION a. Problem Statement: EPA does not have a comprehensive system for tracking the activities grantees commit to in their grant workplans, resulting in the inability to evaluate national environmental progress through federal financial assistance agreements. b. Goal: To fully achieve 80% of grant commitments in 2020 c. Scope: Piloting Brownfield State Response (CERCLA 128(a)) state grantees d. Approval: _____		IMPROVEMENT ACTION REGISTRY <table border="1"> <thead> <tr> <th>Action to be taken</th> <th>Action Owner</th> <th>Due Date</th> <th>Percent Complete</th> <th>Completed Date</th> </tr> </thead> <tbody> <tr> <td>Submit evidence building activity template OCFD</td> <td>Robin</td> <td>7-Aug-2020</td> <td>100</td> <td>7-Aug-2020</td> </tr> <tr> <td>Meet with Henry Darwin to review the evidence building activities</td> <td>Robin</td> <td>28-Aug-2020</td> <td>100</td> <td>28-Aug-2020</td> </tr> <tr> <td>Evidence Act Workgroup reviews draft Interim Learning Agenda and draft FY 2022 Evaluation Plan</td> <td>OCFD</td> <td>8-Sep-2020</td> <td>100</td> <td>8-Sep-2020</td> </tr> <tr> <td>Final Core Team (including Learning Priority Leads) review of Evidence Act deliverables for submission to Henry Darwin</td> <td>OCFD/Robin</td> <td>15-Sep-2020</td> <td>100</td> <td>15-Sep-2020</td> </tr> <tr> <td>Review final draft Evidence Act deliverables with Henry Darwin</td> <td>OCFD/Robin</td> <td>16-Sep-2020</td> <td>100</td> <td>16-Sep-2020</td> </tr> <tr> <td>Draft Interim Capacity Assessment, Interim Learning Agenda and Evaluation Plan submitted to OMB</td> <td>OCFD</td> <td>18-Sep-2020</td> <td>100</td> <td>18-Sep-2020</td> </tr> <tr> <td>Evidence Act working group finalize high level workplan</td> <td>Robin</td> <td>Mid September</td> <td>100</td> <td>18-Sep-2020</td> </tr> <tr> <td>Survey assessment tool for pilot finalized</td> <td>Robin</td> <td>20-Sep-2020</td> <td>100</td> <td></td> </tr> <tr> <td>Communication Strategy finalized</td> <td>Robin</td> <td>20-Sep-2020</td> <td>100</td> <td>25-Sep-2020</td> </tr> <tr> <td>Pilot Survey Assessment Tool</td> <td>Robin</td> <td>November 2020</td> <td>75</td> <td>100</td> </tr> <tr> <td>Refine survey tool based on pilot</td> <td>Robin</td> <td>December 2020</td> <td>25 50 75 100</td> <td></td> </tr> <tr> <td>Survey Assessment Tool sent out to all grant programs</td> <td>Robin</td> <td>January 2021</td> <td>25 50 75 100</td> <td></td> </tr> </tbody> </table>		Action to be taken	Action Owner	Due Date	Percent Complete	Completed Date	Submit evidence building activity template OCFD	Robin	7-Aug-2020	100	7-Aug-2020	Meet with Henry Darwin to review the evidence building activities	Robin	28-Aug-2020	100	28-Aug-2020	Evidence Act Workgroup reviews draft Interim Learning Agenda and draft FY 2022 Evaluation Plan	OCFD	8-Sep-2020	100	8-Sep-2020	Final Core Team (including Learning Priority Leads) review of Evidence Act deliverables for submission to Henry Darwin	OCFD/Robin	15-Sep-2020	100	15-Sep-2020	Review final draft Evidence Act deliverables with Henry Darwin	OCFD/Robin	16-Sep-2020	100	16-Sep-2020	Draft Interim Capacity Assessment, Interim Learning Agenda and Evaluation Plan submitted to OMB	OCFD	18-Sep-2020	100	18-Sep-2020	Evidence Act working group finalize high level workplan	Robin	Mid September	100	18-Sep-2020	Survey assessment tool for pilot finalized	Robin	20-Sep-2020	100		Communication Strategy finalized	Robin	20-Sep-2020	100	25-Sep-2020	Pilot Survey Assessment Tool	Robin	November 2020	75	100	Refine survey tool based on pilot	Robin	December 2020	25 50 75 100		Survey Assessment Tool sent out to all grant programs	Robin	January 2021	25 50 75 100	
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ANALYSIS <i>What is the relevant data that shows there is a problem?</i> - No data exists; EPA does not have a single system to track state grant commitments - 40 CFR §31.40(b)(1); Grantees shall submit annual performance reports unless the awarding agency requires quarterly or semiannual reports. However, performance reports will not be required more frequently than quarterly. (see also: OGD GPI 09-01: Burden Reduction for State Grants) - State recipients ask for reduced reporting burden and for EPA to use outcome-based metrics and data reported through other reporting venues - OGD grants databases do not yet have a mechanism for tracking grant commitments; this function is delegated to the Regional programs. Each program and each individual PO have different methods for tracking grants and often rely on relationships with the grantee. <i>What problem solving tools were used to get to the root causes of the problem?</i> - OCIR requested sample grant workplans for 3 programs: P2, CERCLA 128(a), and CAA/105. - Worked with OMS/OGD, NEPPS coordinators, and NPMs to understand grants implementation and tracking approaches.		RESULTS <i>What are your key metrics with baseline and target?</i> Brownfields: State grantees submit semi-annual reports; Regions to check in quarterly to see if grantees are generally on track to fully execute the commitments in their 128(a) grants. Baseline and targets to be established 3 rd quarter 2020. STANDARD PROCESS & VISUAL MANAGEMENT <i>Describe and post a photograph of your standard process, flow board, and performance board, or describe how improvements will be maintained.</i> OCIR will use a separate tracking sheet to keep track of metrics in each of the three pilot programs.																																																																		
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Kaizen Project Quarterly Review

Nov 4, 2020

Session 2 1:00-1:45



A3		Project Name: Targeting of Internet Sales of Vehicle & Engine Imports		Program: Region IX		Report Date: 9/22/2020																																																																
BOX 1: PROJECT DEFINITION 1a. Problem Statement: Region 9 ECAD uses a performance board (developed with OECA) to track our compliance monitoring and enforcement workload of vehicle and engine imports at Region 9 ports. This is a significant portion of our overall enforcement and compliance monitoring workload in Region 9. During the first quarter of FY20, we observed a decrease in targets of vehicle and engine imports to inspect. During a huddle, the team identified internet sales as a major source of illegal vehicle and engine imports, but currently illegal vehicle and engine imports cannot not be easily targeted for inspection at the ports due to the nature of internet sales. Without improving inspection hit rates for illegal vehicles and engines at the ports in keeping with the many violative vehicles and engines offered for sale on e-commerce sites, EPA cannot prevent a significant percentage of air polluting emission sources from entering U.S. commerce. Addressing internet sales of vehicles and engines is an emerging area of policy that OECA Air Enforcement Division (AED) is taking the lead in developing. To increase the effectiveness of our vehicle and engine import compliance monitoring program, we are up-leveling to OECA the need for addressing internet sales.				BOX 3: IMPROVEMENT ACTION REGISTRY <table border="1"> <thead> <tr> <th>#</th> <th>Assigned Date</th> <th>Action to be Taken</th> <th>Action Owner</th> <th>Due Date</th> <th>Per cent Complete</th> <th>Completed Date</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>7/7/20</td> <td>OECA to share names of online importers from Amazon's responses to EPA 8/19/20 (if a request)</td> <td>Chew/ Felix</td> <td>7/21/20</td> <td>25</td> <td>80</td> <td>78</td> <td>3/3</td> <td>7/21/20</td> </tr> <tr> <td>2</td> <td>7/14/20</td> <td>EPA outreach to CDP to permit in targeting and remote inspections (TSD)</td> <td>Burnett/ Chew</td> <td>10/31/20</td> <td>25</td> <td>30</td> <td>78</td> <td>3/3</td> <td>10/24/20</td> </tr> <tr> <td>3</td> <td>7/14/20</td> <td>Or seek with other Regions interested in RIR/ OECA progress</td> <td>Jaeger/ e</td> <td>10/31/20</td> <td>25</td> <td>30</td> <td>78</td> <td>3/3</td> <td>10/24/20</td> </tr> <tr> <td>4</td> <td>9/22/20</td> <td>Add RIR address list of Amazon sellers, e.g., BAD Express) to targeting list. RIR recommended seizure of BAD entry of illegal motor vehicles</td> <td>Chew/ Aguilar</td> <td>9/30/20</td> <td>25</td> <td>30</td> <td>78</td> <td>3/3</td> <td>10/24/20</td> </tr> </tbody> </table>				#	Assigned Date	Action to be Taken	Action Owner	Due Date	Per cent Complete	Completed Date	1	7/7/20	OECA to share names of online importers from Amazon's responses to EPA 8/19/20 (if a request)	Chew/ Felix	7/21/20	25	80	78	3/3	7/21/20	2	7/14/20	EPA outreach to CDP to permit in targeting and remote inspections (TSD)	Burnett/ Chew	10/31/20	25	30	78	3/3	10/24/20	3	7/14/20	Or seek with other Regions interested in RIR/ OECA progress	Jaeger/ e	10/31/20	25	30	78	3/3	10/24/20	4	9/22/20	Add RIR address list of Amazon sellers, e.g., BAD Express) to targeting list. RIR recommended seizure of BAD entry of illegal motor vehicles	Chew/ Aguilar	9/30/20	25	30	78	3/3	10/24/20	BOX 6: TEAM <table border="1"> <thead> <tr> <th>Name</th> <th>Role</th> </tr> </thead> <tbody> <tr> <td>Amy Miller-Dowen/ Evan Bailey</td> <td>Executive Sponsors</td> </tr> <tr> <td>Rachel Swinburn/ Maria Reid</td> <td>Process Owners</td> </tr> <tr> <td>Andrew Chew/ Julia Burnett/ Nathan Klemm</td> <td>Project Lead</td> </tr> <tr> <td>Ashle Harrold</td> <td>Coach</td> </tr> <tr> <td>Julie Jordan/ Andrew Chew</td> <td>Problem Solvers</td> </tr> </tbody> </table>				Name	Role	Amy Miller-Dowen/ Evan Bailey	Executive Sponsors	Rachel Swinburn/ Maria Reid	Process Owners	Andrew Chew/ Julia Burnett/ Nathan Klemm	Project Lead	Ashle Harrold	Coach	Julie Jordan/ Andrew Chew	Problem Solvers
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BOX 2: ANALYSIS Region 9 used several problem-solving techniques including 5-whys and fishbone analysis (documents will be provided to OECA). Based on these techniques, we found that of the hundreds of entries that EPA has inspected, only eight shipments were associated with an internet marketplace, Amazon.com. Of those eight, only one was found to be non-compliant. While this might suggest a high rate of compliance for Amazon sales, the abundance of non-complying products on Amazon's website tells a different story and yet the same types of non-complying products have been consistently found during import inspections from non-internet based importers. Further, Amazon, like other internet marketplace, does not have internal compliance verification procedures in place to prevent the sale of non-compliant vehicles and engines. We look forward to further analyzing the problem with OECA AED. We anticipate solutions to include direct enforcement actions against internet marketplaces and the development of vehicle and engine import targeting based on internet sales.				BOX 5: STANDARD PROCESS & VISUAL MANAGEMENT																																																																		
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Breakthrough Project		Project Name: Maximizing Infrastructure Investments		Program: OW		Report Date: October 2020																																																																															
1. PROJECT DEFINITION (Plan) <p>Improvement Opportunity: Since 1988, cumulative CWSRF assistance has surpassed \$138 billion, and continues to grow through interest earnings, loan repayments, and leveraging. EPA's oversight process includes annual programmatic and financial reviews of the 51 state programs to help ensure CWSRF funding is fully utilized. An opportunity exists to improve the CWSRF oversight process through which the Agency can work with targeted state programs to promote the full, and more timely, utilization of these funds.</p> <p>Goal: Reduce the total amount of uncommitted CWSRF funds in targeted states by xx percent by [DATE].</p> <p>Scope: This project will initially be limited to a subset of CWSRF state programs selected during the analysis phase.</p> <p>Approval: _____ Henry Darwin, Chief Operations Officer</p>																																																																																					
2. ANALYSIS (Plan) <p>PROGRESS TO DATE: To develop a list of states for this project, the Team completed a review of the uncommitted CWSRF cash balances and a group of 22 states were identified as having "large" uncommitted balances, relative to their annual average of available funds. Based on interviews and further analyses, the Team has chosen to work with Georgia, Michigan, and New Mexico. The Team established a baseline of \$1.16 for monitoring uncommitted CWSRF funds in Georgia, Michigan, and New Mexico. The Team developed background material prior to the state reviews to help support discussions with the Regions and states. From this material, potential solutions and topics of discussion are prepared for the review.</p> <p>NEXT STEPS: The Team will continue to work with the Regions to prepare for the remaining state review. The discussion with the final state will help finalize baseline and reduction targets. The Team will continue using the regional annual reviews to have focused discussions with these states regarding their large uncommitted balances and how EPA can support efforts in reducing them. These discussions will be documented and shared with both the Regions and the states. This documentation will also serve as the basis for proposals to provide support for the targeted states to help address the underlying issues.</p>																																																																																					
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4. RESULTS (Check) <p>All three state discussions have occurred. Working with Regions 4, 5, and 6, memorandums documenting the conversations and potential follow-up action items were sent to Georgia, New Mexico, and Michigan.</p> <p>Based on these conversations, the Team drafted a target of reducing the amount of uncommitted CWSRF funds by 20%.</p> <p>We are actively working with the states and regions to help finalize the agreed upon action items and proposed timetables. We are also working with the states and regions to finalize the reduction targets.</p>																																																																																					
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Executive Sponsor Signature: _____

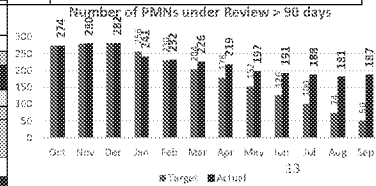
TSCA Premanufacture Notice

Process Owner/Project Lead: Madison Le

Goal: Complete PMN notice final determinations in accordance with statutory timelines (2020 APG = 80%)

Assigned Date	Action to be Taken	Action Owner	Due Date	Percent Complete				Completion Date
3/16/20	Establish and implement "Backlog Teams" and strategies in OPPT/CCD and OPPT/RAO for reducing the number of "backlog" cases	Camacho & Alwood	9/30/20	25	50	75	100	Mid March 2020 – Dedicated teams established in the Risk Assessment Division and the Chemical Control Division to focus solely on reducing the Number of Pre-Manufacturing Notices under review for over 90 days.
3/16/18	Conduct 3rd pilot of Team-based Approach	Schweer	7/15/19	25	50	75	100	8/30/19
	Deployment of dedicated team of RAD/detailee health assessors to complete hazard/risk assessments for 1 st quarter of FY20	Fehrenbacher	9/15/19	25	50	75	100	10/30/19
9/17/19	Temporarily stop risk assessment work on backlog LVEs to focus on backlog PMNs	Schweer	12/31/19	75	50	75	100	Work on engineering, exposure, and ecorisk reports restarted on 1/2/20.
3/16/18	Improve electronic communication with submitters	Gorder	9/30/18	75	50	75	100	June 2020 – Have established a secure method to send and receive CBI documents with submitters via email and thru CIS/CDX.
3/16/18	Develop "Exposure-level Approach" and initiate pilot study	Schweer	12/31/18	25	50	75	100	On hold until Team-based approach is adopted. However, certain aspects are being implemented now.
6/18/18	Develop an interim application in NCR system to track cases in the risk management phase	Frank	3/29/19	75	50	75	100	Will restart once funding is approved. Have established a stand-alone system to track cases in RA phase.
10/25/18	Conduct Kaizen Event for "back end" (i.e., risk management component) of the program	Schweer	6/15/19	75	50	75	100	Kaizen event held on 9/18-9/19. Awaiting draft report from contractor. Some changes being implemented.

Metric ID	TPG	Performance Metric Title	JOP	Target Direction	YTD	Oct	Nov	Dec	Jan	Feb	March	April	May	June	July	Aug	Sept
Breakthrough Metrics																	
B03	1.4.3	Percentage of PMNs received this FY with final determinations made that month completed within 90 days.	10/1/2016	Increase	Target	80.2%	80.0%	80.0%	80.2%	80.0%	80.0%	80.0%	80.0%	80.0%	80.0%	80.0%	80.0%
				Actual	100%	100%	100%	100.0%	100.0%	100%	100%	100%	100%	100%	100%	100%	100%
Operational / Sustainment Metrics																	
S09	1.4.3	Percentage of final TSCA new chemical determinations completed within the full timeframes allowed by statute.	10/1/2016	Stable	Target	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
				Actual	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
S10	1.4.3	Number of Pre-Manufacturing Notices under review for over 90 days	09/30/2019	Decrease	Target	50	274	293	293	256	230	234	178	152	126	100	74
				Actual		274	293	292	241								



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A3	Project Name: Timely Issuance of EPA NPDES Permits	Program: NPDES Permit Program	Report Date:
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BOX 1: PROJECT DEFINITION

1a. Problem Statement: Decisions on permit applications for new and administratively continued EPA-issued individual NPDES permits often takes longer than six months.

1b. Goals: 1) By September 30, 2021, EPA will reduce the backlog of new permitting-related decisions to 5 permits and reduce the backlog of permit renewals to 230 permits. 2) EPA issues all NPDES permits in 180 days or less by September 30, 2022.

1c. Scope: This effort applies to new and administratively continued NPDES individual permits issued by EPA, from initial permit application receipt to issuance (or denial) of a permit. The following permits are excluded from this analysis: 1) permit renewals; 2) situations where a discharger is moving from general permit coverage to an individual permit 3) permits that are delayed due to issues beyond EPA's control; and 4) permit appeals are not addressed.

BOX 2: ANALYSIS

EPA Regions have reduced the backlog of new permits from 106 in March of 2018 to 28 on September 30, 2020. The backlog of administratively continued permits has been reduced from 547 in March of 2018 to 333 on September 30, 2020.

Number of Applications for New EPA-issued Permits in Backlog September 2020 - Present

Number of Existing EPA-issued Permits in Backlog September 2020 - Present

BOX 3: IMPROVEMENT ACTION REGISTRY

#	Assign and Date	Action to be Taken	Action Owner	Due Date	Percent Completed	Completed Date
1	May 2020	Provide support for a virtual ACHM subcommittee meeting	Carlaella Stephens	October 28, 2020	100%	10/28/20
2	June 2020	Conduct problem-solving exercise on NPDES backlog with Region 1, 2, 4, 5, 6, 7, 8, 9, 10, 11, 12, and 13	Maria Lopez-Carso	November 30, 2020	100%	11/30/20
3	May 2020	Identify regional indicators for initial up-to-date NPDES permit renewal coverage	Emily Phillips	November 30, 2020	75%	11/30/20
4	Aug 2020	Develop a demonstration exercise to help address permit renewal 40% requirement	Marcus Johnson	October 30, 2020	100%	10/30/20
5	Sep 2020	Develop a "bucket list" for tracking ongoing issues that delay permit issuance	Maria Lopez-Carso	November 30, 2020	75%	11/30/20
6	Jan 2020	Publish an internal NPDES/PAWS strategy to address PAWS in NPDES permits	Marcus Johnson	December 31, 2020	100%	12/31/20
7	May 2020	Develop a set of sample permit applications to assist Region 1 and 2 with Region 1	Joshua Smith	December 31, 2020	75%	12/31/20
8	April 2020	Develop a response to comments on draft permit renewal and permit issuance	Kristen Smith	September 30, 2020	100%	09/30/20
9	Oct 2020	Track ongoing issues that delay permit issuance in the "bucket list"	Kristen Smith	Sep 2021	100%	09/30/21
10	Oct 2020	Give a virtual NPDES Permit to New Counsel in PAWS	Sean Harnisch	Sep 2021	100%	09/30/21

BOX 4: RESULTS

Number of Applications for New EPA-issued Permits in Backlog September 2020 - Present

	Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21
Actual	35	32	30	28	25	25	25	25	24	21	21	6
Target	28	28	25	25	25	25	25	25	24	21	21	6

Number of Existing EPA-issued Permits in Backlog September 2020 - Present

	Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21
Actual	547	525	510	518	510	508	485	475	470	455	444	230
Target	327	325	310	318	310	298	285	275	270	255	244	230

BOX 5: STANDARD PROCESS & VISUAL MANAGEMENT

BOX 6: TEAM

Name	Role
Carlaella Stephens	Executive Sponsor
Chris Kates	Project Owner
Joshua Smith	Project Lead
Sean Harnisch	Coach
Emily Phillips	
Joshua Smith	
Sean Harnisch	
Lee Kelly	

BOX 7: ISSUES

Unfunded or no ability to influence the actions of other Departments that are needed for permit issuance (e.g. GIS, EPA reviews)

Inadequate staff and resources limit the number of permits that Regional staff are actively working on.

Some permits involve complex and difficult going issues that need to be resolved by Regional and OW management.

BOX 8: PROJECT MANAGEMENT

2nd Monday of Every Month

2nd Thursday of Every Month

2nd Thursday of Every Month

BOX 9: PROGRESS

Project Start Date: _____

Estimated Project Completed Date: _____

BOX 10: SIGNATURE

Executive Sponsor's Signature: _____